



I. Funding Goal and Summary:

The Office of Energy Development (OED) will offer a total of \$500,000 to help government-owned wastewater treatment plants (WTP) to reduce their energy demand and lower their energy costs. WTP grants provide funding of up to \$100,000 per grantee for the installation of efficient equipment and processes, anaerobic digesters, or waste-heat recovery. By reducing energy demand and/or recovering waste heat, WTPs can mitigate the impact of rising energy prices. OED recognizes the water-energy nexus: WTPs recover their energy costs from their customers through wastewater rates, and mitigating rising energy costs will therefore help keep wastewater rates affordable. *Applications are due October 23, 2015 at 5:00 ET.*

II. Available Funding

- OED anticipates awarding approximately \$500,000 total. OED reserves the right to decrease or increase this amount. The maximum award per grant will be \$100,000.
- The grant funding source consists of 20% state funds and 80% funds from the US Department of Energy (US DOE)
- Only one proposal may be submitted by an applicant
- Minimum cost share is required and must at least 50% of the total project cost

III. Eligible Applicants

- Eligible applicants are local government-owned water treatment facilities. If ownership is in question, please be prepared to provide the necessary documents. If plant management is contracted out but the government entity still owns the property and pays the energy bills, the project is still eligible.

IV. Eligible Projects and Costs

Eligible Projects

All proposed projects must meet all of the following criteria:

- Project must be located in Indiana
- Projects must be ready to move beyond the planning stage and be ready for implementation
- Project must meet one or more of the following criteria:
 - o Demonstrate measurable improvements in energy efficiency
 - o Result in a reduction in energy demand
 - o Implement an energy recycling process, such as waste-heat recovery or combined heat and power
 - o Use existing reliable, commercially-available technologies such as an energy management system or energy efficient pumps, blowers, and motors
 - o Consist of more than just lighting projects. Lighting projects must be combined with a larger energy efficiency project, since lighting only makes up a small percentage of a WTPs' energy costs.
- All projects must be approved under the National Environmental Protection Act (NEPA) and hence will undergo a Federal review process. This process is anticipated to take six weeks and will begin after OED selects the grant winners. To be considered, projects must take place within current facility boundaries. Clear documentation must be presented in the application regarding specific use, size, and the building

footprint. The NEPA questionnaire can be found on our website and must be submitted with the grant application.

- Eligible costs and cost-share must occur following award (tentatively November 2015), but before April 30, 2016. Projects that begin prior to award or that will not be completed by April 30, 2016 are not eligible for grant funding.
- All applicants must be in compliance with state and federal rules and regulations. To find out what permits may be necessary for your facility, contact the Indiana Department of Environmental Management at <http://www.in.gov/idem/5881.htm>.

Eligible Costs

- The applicant is responsible for all costs and expenses associated with submitting this proposal. Administrative costs, such as those related to grant writing, project management, and grant reporting, will not be reimbursed.
- Applicants are expected to submit financial proof (i.e. bank statement, letter from bank confirming line of credit, grant award, etc) that demonstrates the ability of the applicant to provide cost-share. Failure to do so may result in an applicant being deemed ineligible to receive grant funding. Additionally, applicants must show proof of availability of funds for all project costs as this program is paid in reimbursement only. Therefore, if the applicant has a \$100,000 total project and the cost share funds equal \$50,000, the applicant must still show proof of having \$100,000 available to pay for project costs.

V. Application Process

Please submit your application package to grants@oed.in.gov by 5:00 ET on October 23, 2015. Title the email as *WTP Grant Final Application* with the applicant's name at the end. For example, *WTP Grant Final Application – Example Town*. Applications must be put into a [zip file](#) and attached to your email.

The application package includes the following:

1. Application Summary
2. Project Narrative
3. Budget
4. Quotes
5. Project Calculations
6. Energy Conservation Strategy
7. NEPA Questionnaire
8. SHPO Section 106 Assurance
9. Certifications and Assurances Signature Page

Application Package Guidelines

Each of the above items must be in its own file, titled as shown above with the applicant's name at the end. For example, the first file will be titled *1. Application Form – Example Applicant*. Each file, except for the Budget file, will be saved as a PDF. The Budget file should be saved as an Excel spreadsheet.

File 1: Project Form

This summary provides a snapshot of your project, and the form can be found on our website at www.in.gov/oed/2734.htm. The form asks for the applicant's DUNS number, which is a necessity to receive a federally funded grant.

DUNS Number

All applicants must have a DUNS number to be eligible. If your organization does not have a DUNS number, go to the [Dun & Bradstreet \(D&B\) online registration](#) to receive a number free of charge or call 1-800-234-3867. Please be aware that this process may take up to 10 days. If you are not in receipt of a DUNS number at the time of application, you must submit it to the program manager within 7 days of application. Failure to do so may result in loss of eligibility for grant funding.

File 2: Project Narrative

Please provide a narrative summary of the proposed project. The project narrative must not exceed 20 pages, including charts, graphs, maps, photographs, and other pictorial presentations. Save it as a PDF.

The project narrative must include:

- Project Objectives – This section should provide a clear, concise statement of the specific objectives/aims of the proposed project
 - o Define the goals and objectives of the project
 - o Describe how the proposed work plan will successfully meet the project goals and objectives
- Project Activities – This section should outline the proposed project activities.
 - o Discuss general condition, use, and location of building or complex where project is proposed.
 - o Include a discussion of costs and financing arrangements
 - o Provide rationale for and description of the technologies selected.
 - o Provide exact description of project activities (i.e. number of pumps proposed, number and efficiency of existing and proposed motors, etc.)
 - o Project Plan and Timetable – This section should outline as a function of time, year by year, all the important activities or phases of the project, including any activities planned beyond the project period.
 - o Describe the project work breakdown structure including major task descriptions, major milestones, decision points, deliverables and outcomes and a project schedule.
 - o Describe how the proposed project organization and approach will facilitate success.
- Relevance and Outcomes/Impacts – This section should explain the relevance of the effort to the objectives in the program guidelines and the expected outcomes and/or impacts, including energy savings and cost savings.
 - o The justification for the proposed project should include a clear statement of the importance of the project in terms of the utility of the outcomes and the target community of beneficiaries. This section should also connect this proposed project to a comprehensive description of other energy efficiency efforts undertaken by the applicant.

File 3: Budget

Please fill in the Budget Excel spreadsheet located on our website at www.in.gov/oed/2734.htm.

File 4: Quotes

Please provide a quote from each project installer and/or contractor to support your budget and grant request. Each quote needs to be on the company's letterhead. Please note that project management costs are not an eligible, reimbursable cost. Quotes must clearly support the project budget. Put all quotes into one PDF.

File 5: Project Calculations

Please document the calculations and assumptions made to calculate the energy savings and payback of the proposed project. If applicable, please provide a copy of the energy survey or audit that was used to inform calculations and project decisions. Put all calculations into one PDF.

Professional Engineer

A licensed Professional Engineer (P.E.) must approve the estimates underlying the calculations on the Energy Worksheet. Failure to do so may result in an Applicant being removed from consideration for grant funding.

File 6: Energy Conservation Strategy

The process of becoming more energy efficient should not be limited to a one-time capital expenditure. Please provide a summary outlining your organization's current or planned energy conservation strategy or sustainability initiatives.

File 7: NEPA Questionnaire

All projects receiving financial assistance from US DOE must be reviewed under the National Environmental Policy Act (NEPA) of 1969-42 U.S.C. Section 4321 et seq. Please attach your completed NEPA questionnaire so that if your project is selected to receive funds, we can quickly begin the NEPA review process. The NEPA questionnaire can be found on our website at www.in.gov/oed/2734.htm.

File 8: SHPO Section 106 Assurance

Please provide a copy of the letter received from the State Historic Preservation Office (SHPO), which indicates no significant finding of historic property or significant alteration to historic structures. If not in receipt of this letter, please provide a copy of the materials that you have sent to the SHPO for review. Appendix A contains the information needed for the Sec. 106 process. Failure to start this process by the time of application will deem the project ineligible for funding. Information on this process can be found on our website at www.in.gov/oed/2734.htm.

File 9: Certificate and Assurances Signature Page

Please provide a signed copy of the signature page (page 6), which you can find on our website www.in.gov/oed/2734.htm.

VI. Award Process

Evaluation Criteria

The following criteria, among others, will be considered during the administrative and technical review:

- Energy demand reductions
- Energy cost savings
- Payback period
- Grant experience
- Ability to start and complete project within the timeframe specified in this document
- Quality and clarity of application
- The amount of cost-share and/or leveraged funds the applicant brings to the project. Each applicant must provide at least 50% cost-share and/or leveraged funds.

Awards

- OED expects to notify awardees approximately 4 weeks following the close of the grant application period
- Partial funding can be awarded, and applicants awarded partial funding may not appeal the decision made by OED
- If awarded, the applicant must inform OED of refusal of funds within three days from original notification of award. Failure to notify OED of the refusal of funds will result in the applicant becoming ineligible for further application for grant funding.

VII. Awardee Responsibilities

While the below responsibilities, terms, and conditions are not exhaustive and intended to substitute for the awardee reading and understanding of the contract between their entity and the State of Indiana, they provide an example of the behavior and deliverables expected by OED and the U.S. Department of Energy.

Project Execution

If the applicant is approved by OED, the following steps will occur:

1. OED will submit the grantee's NEPA questionnaire for the federal government to review. This process can take up to six weeks.
2. OED will provide grantee with contract language to review.
3. As soon as the project receives NEPA approval, grantees will return the signed contracts to OED.
4. OED will send the contract through the state approval process. This process takes up to six weeks.

Upon the grantee signing the contract, OED expects awardees to immediately begin their project by ordering equipment associated with the project as well as preparing the site of the project and obtaining any relevant permits or variances necessary for project installation to be completed. Do not wait until the executed contract is returned to start project activities, as the process can significantly delay your project. Delay in contract execution is not an allowable reason for a grantee's failure to complete project installation by the deadline stipulated in the contract. Any costs incurred in this period are at the grantee's risk if the agreement is not signed and returned in this time period. No reimbursement will be made to grantee and all funds will be de-obligated.

5. Upon completing the State signature process, the grantee may submit invoices to OED to draw down grant funds.

Reporting Requirements

The following will be collected from each recipient:

- One report each quarter
- Final report due thirty days after grant's expiration

The specifics of reporting timelines and requirements will be explained further in the contract signed by the applicant upon award. Please see the table below for a list of potential reporting requirements:

Funds Leveraged
Buildings retrofitted
Square footage of buildings retrofitted
Energy Savings
Energy Cost Savings

Failure to comply with the reporting requirement may result in repayment of the grant funds to OED as well as affect the viability of any future applications from the grantee.

Maintain Communication

The grant recipient shall maintain communication with the Office of Energy Development for the duration of the grant agreement. The grant recipient is obligated to report any changes in the project scope, budget, installation date etc. with OED as soon as they become aware of the changes. Failure of the grant recipient to report any changes in the activities, scope, or budget of their project once awarded constitutes a breach of contract on the part of the grant recipient and will jeopardize the receipt of grant monies. The grant recipient shall acknowledge the financial support of OED by displaying the logo of OED on any webpage, media, or printed materials that mention the project.

Site Visits

The grant recipient shall allow OED to conduct project site visits when given (5) business days notice.

Modifications

Awardees must report to OED immediately if there is a change to the previously proposed activities, scope, or budget changes. The communication must occur prior to the modification and provide a rationale for proposed changes.

VIII. Additional Resources for Wastewater Treatment Plants

Applicants can find additional funding and technical resources for wastewater treatment plants at OED's page for Local Governments: <http://www.in.gov/oed/2729.htm>.

IX. Terms and Conditions:

Confidentiality of Information

To the extent feasible and permissible by law, the Office of Energy Development (OED) will honor an applicant's request that confidential information submitted to OED will remain confidential. OED will treat information as confidential only if: (i) the information is, in fact, protected confidential information such as trade secrets or privileged or confidential commercial or financial information; (ii) the information is specifically marked or identified as confidential by the applicant; (iii) the information is segregated and placed in a separate appendix to the application; and (iv) no disclosure of the information is required by law or judicial order. If the application results in award of a grant, the honoring of confidentiality of identified data shall not limit the right of OED to disclose the details and results of the grant to the general public. Each and every page containing proprietary data must be clearly identified and marked CONFIDENTIAL.

Indemnification

To the extent allowable by law, Applicant agrees to indemnify, defend, and hold harmless the State, its agents, officials, and employees from all claims and suits including court costs, attorney's fees, and other expenses caused by any act or omission associated with the submission of this application. The State shall **not** provide such indemnification to the applicant.

E-Verify

The enactment of Public Law 171-2011, codified as I.C. 22-5-1.7 imposes new requirements on contractors and grantees of the State of Indiana effective July 1, 2011. As a recipient of a contract/grant your business entity is required to enroll and participate in the E-Verify program to confirm the legal work status of your employees hired after the start date of your state contract.

E-Verify is part of the Illegal Immigration Reform and Immigration Responsibility Act of 1996 (P.L. 104-208) and is administered by the United States Department of Homeland Security (USDHS). The USDHS works with the Social Security Administration to verify the identity and eligibility of employees. E-Verify is **free** to use, but you must register with the USDHS to access the system.

As a condition of your contract/grant award, you must provide confirmation that you are enrolled in E-Verify. To learn more about E-Verify and to enroll, please visit: <https://e-verify.uscis.gov/enroll/> or www.dhs.gov/e-verify. Failure to comply with this requirement will be considered a material breach of contract and may lead to your agreement being terminated.